

JP15 Rec'd PCT/PTO 30 AUG 2006

FORM PTO-1390  
(REV 07-2005)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.  
59559.00035

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

10/591132

U.S. APPLN. NO.  
(IF KNOWN, SEE 37 C.F.R. 1.5)  
New Application

INTERNATIONAL APPLICATION NO.  
PCT/JP2005/3858

INTERNATIONAL FILING DATE  
07/March/2005

PRIORITY DATE CLAIMED  
08/March/2004

TITLE OF INVENTION: MOLD FOR MOLDING DISK, ADJUSTMENT MEMBER, AND METHOD OF MOLDING DISK SUBSTRATE

APPLICANT(S) FOR DO/EO/US: Hiroyuki SAWAISHI; Yoshiyuki GOTO

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.  
(THE BASIC FILING FEE IS ATTACHED)
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures [35 U.S.C. 371(f)]. The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed [35 U.S.C. 371(c)(2)].
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)].
9. ☒ An oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)].
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)].

Items 11 - 20 below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98, with PTO-1449 and 2 references.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☒ Application Data Sheet.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: CHECK NO. 14957; Formal Drawings (Figs. 1-3; 3 sheets); PCT Request

U.S. APPLN. NO. (IF KNOWN, <b>10/591132</b> SEE 37 C.F.R. 1.50) New Application		INTERNATIONAL APPLICATION NO. PCT/JP2005/3858		<b>14P5 Rec'd PCT/PTO 30 AUG 2006</b> ATTORNEY'S DOCKET NO. 594592007					
				DATE: August 30, 2006					
The following fees have been submitted 21. <input checked="" type="checkbox"/> Basic National Fee (37 CFR 1.492(a))..... <b>\$300.00</b>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">CALCULATIONS</th> <th style="width: 50%;">PTO USE ONLY</th> </tr> <tr> <td style="text-align: center;">\$ 300.00</td> <td></td> </tr> </table>		CALCULATIONS	PTO USE ONLY	\$ 300.00	
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\$ 300.00									
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) <ul style="list-style-type: none"> <li>• If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1) - (4) ..... <b>\$0.00</b></li> <li>• All other situations.....<b>\$200.00</b></li> </ul>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">\$ 200.00</td> <td></td> </tr> </table>		\$ 200.00			
\$ 200.00									
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) <ul style="list-style-type: none"> <li>• If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... <b>\$0.00</b></li> <li>• Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the United States Patent &amp; Trademark Office as an International Search Authority.....<b>\$100.00</b></li> <li>• International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....<b>\$400.00</b></li> <li>• All other situations.....<b>\$500.00</b></li> </ul>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">\$ 400.00</td> <td></td> </tr> </table>		\$ 400.00			
\$ 400.00									
<b>TOTAL OF 21, 22 and 23 =</b>				\$ 900.00					
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date [37 C.F.R. 1.492(e)].				\$					
Claims	Number Filed	Number Extra	Rate						
Total Claims	13 - 20 =		X \$ 50.00	\$					
Independent Claims	3 - 3 =		X \$ 200.00	\$					
Multiple dependent claim(s) (if applicable)			+ \$360.00	\$					
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is <b>\$250.00</b> for each additional 50 sheets of paper or fraction thereof.									
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE						
- 100 =	/50 =		X \$250.00	\$					
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 900.00					
Reduction by one-half for filing by small entity, if applicable. <b>Applicant claims small entity status. See 37 CFR 1.27.</b>				\$					
<b>SUBTOTAL =</b>				\$ 900.00					
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date [37 C.F.R. 1.492(f)]. +				\$					
<b>TOTAL NATIONAL FEE =</b>				\$ 900.00					
Fee for recording the enclosed assignment [37 C.F.R. 1.21(h)]. The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property +				\$ 40.00					
<b>TOTAL FEES ENCLOSED =</b>				\$ 940.00					
				Amount to be refunded	\$				
				Charged	\$				

U.S. APPLN. NO. (IF KNOWN) SEE 37 C.F.R. 1.50) New Application	INTERNATIONAL APPLICATION NO. PCT/JP2005/3858	ATTORNEY DOCKET NO. 59559.00035 DATE: August 30, 2006
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10/591132

a. ☒ A check in the amount of \$940.00 to cover the above fees is enclosed.

b. ☐ Please charge Counsel's Deposit Account No. 50-2222 in the amount of \$\_\_\_\_\_ to cover the above fee.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Counsel's Deposit Account No. 50-2222.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive [37 C.F.R. 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

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